

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 12-2004)

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

932.1353

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/566413

INTERNATIONAL APPLICATION NO.
PCT/IB04/002527

INTERNATIONAL FILING DATE
July 27, 2004

PRIORITY DATE CLAIMED
August 8, 2003

TITLE OF INVENTION

PROCEDURE FOR PREPARING 11-(4-[2-(2-HYDROXYETHOXY)ETHYL]-1-PIPERAZINEYL)-DIBENZO [B,F] [1,4] THIAZEPINE

APPLICANT(S) FOR DO/EO/US

PUIG TORRES, Salvador, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:


1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

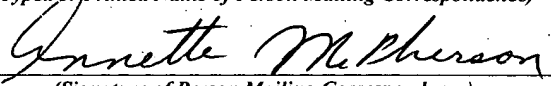
Items 13 to 23 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. **EV 627873343 US**
23. ☒ Other items or information:

**Letter Re Priority and Submission of Priority Document
Application Data Sheet
Specification as amended under Article 34**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

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|--|--------------|--|------------|---|------------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/566413 | | INTERNATIONAL APPLICATION NO. PCT/IB04/002527 | | ATTORNEY'S DOCKET NUMBER 932.1353 | |
| 24. The following fees are submitted: | | | | Applicant use | Office use |
| <input checked="" type="checkbox"/> a) Basic national fee \$300.00 | | | | \$ 300.00 | |
| <input checked="" type="checkbox"/> b) Examination fee \$200.00 | | | | \$ 200.00 | |
| <input checked="" type="checkbox"/> c) Search fee \$500.00 | | | | \$ 500.00 | |
| TOTAL OF ABOVE CALCULATIONS = \$1000.00 | | | | \$ 1,000.00 | |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole) | RATE | | |
| - 100 = | /50 = | | x \$250.00 | \$ 0.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 13 - 20 = | 0 | x \$50.00 | \$ 0.00 | |
| Independent claims | 1 - 3 = | 0 | x \$200.00 | \$ 0.00 | |
| MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00 | | | | \$ 0.00 | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 1,000.00 | |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ 500.00 | |
| SUBTOTAL = | | | | \$ 500.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ 65.00 | |
| TOTAL NATIONAL FEE = | | | | \$ 565.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property + | | | | \$ 0.00 | |
| TOTAL FEES ENCLOSED = | | | | \$ 565.00 | |
| Amount to be refunded: | | | | \$ | |
| Amount to be charged: | | | | \$ | |
| a. <input checked="" type="checkbox"/> A check in the amount of \$ \$565.00 to cover the above fees is enclosed. | | | | | |
| b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is _____ | | | | | |
| c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-0518 . A duplicate copy of this sheet is enclosed. | | | | | |
| d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: STEINBERG & RASKIN, P.C. 1140 Avenue of the Americas, 15th Fl. New York, N.Y. 10036-5803 | | | |  SIGNATURE Noam R. Pollack NAME 56,829 REGISTRATION NUMBER | |

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|--|---------------------------------|-------------------|------------------------|-------------------------|
| CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) | | | Docket No. 932.1353 | |
| Applicant(s): PUIG TORRES, Salvador, et al. | | | | |
| Application No. 10/566413 N/Y/K | Filing Date January 30, 2006 | Examiner N/Y/K | Customer No. 21831 | Group Art Unit N/Y/K |
| Invention: PROCEDURE FOR PREPARING 11-(4-[2-(2-HYDROXYETHOXY)ETHYL]-1-PIPERAZINEYL)-DIBENZO [B,F] [1,4] THIAZEPINE | | | | |
| <p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; margin: 10px 0;"><p>New PCT National Phase Application with associated documents and fee</p></div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on</p> <p style="text-align: center;"><u>January 30, 2006</u> (Date)</p> <div style="text-align: center; margin-top: 20px;"><p><u>Annette McPherson</u> (Typed or Printed Name of Person Mailing Correspondence)</p><p> (Signature of Person Mailing Correspondence)</p><p><u>EV 627873343 US</u> (<i>"Express Mail"</i> Mailing Label Number)</p></div> | | | | |
| <p>Note: Each paper must have its own certificate of mailing.</p> | | | | |